

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Stanislaus Wong  
Serial No.: 10/701,402  
Filed: November 3, 2003  
For: SIDEWALL FUNCTIONALIZED  
CARBON NANOTUBES, AND  
METHODS FOR MAKING THE SAME

Mail Stop DD  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Examiner: Unassigned  
Group Art Unit: Unassigned  
Docket: 178-322  
Dated: February 5, 2004

I hereby certify this correspondence is being deposited with the United States Postal Service as first class mail, postpaid in an envelope addressed to Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

on 2/5/04 Signature Susan Blahy-Ternau

INFORMATION DISCLOSURE STATEMENT

Sir:

In order to fulfill the requirements of candor and good faith set forth in 37 C.F.R. § 1.56, Applicants submit herewith the following Information Disclosure Statement and Form PTO-1449 in accordance with the provisions of 37 C.F.R. §§ 1.97 and 1.98.

NON-PATENT PUBLICATIONS

1. Banerjee et al., "Rational Sidewall Functionalization and Purification of Single-Walled Carbon Nanotubes by Solution-Phase Ozonolysis" *J. Phys. Chem. B*, 106:12144-12151 (November 1, 2002).
2. Chiang et al., "Purification and Characterization of Single-Wall Carbon Nanotubes" *J. Phys. Chem. B*, 105:1157-1161 (January 12, 2001).
3. Hernadi et al., "Reactivity of different kinds of carbon during oxidative purification of catalytically prepared carbon nanotubes" *Solid State Ionics*, 141:203-209 (2001).
4. Rinzler et al., "Large-scale purification of single-wall carbon nanotubes: process, product, and characterization" *Appl. Phys. A: Mater. Sci. Process*, 67: 29-37 (1998).
5. Chiang et al., "Purification and Characterization of Single-Wall Carbon Nanotubes (SWNTs) Obtained from the Gas-Phase Decomposition of CO (HiPco Process)" *J. Phy. Chem. B*, 105:8297-8301 (August 10, 2001).

6. Lu et al., "Can the Sidewalls of Single-Wall Carbon Nanotubes Be Ozonized?" *J. Phys. Chem. B*, 106:2136-2139 (February 7, 2002).
7. Deng et al., "Oxidation of Fullerenes by Ozone" *Fullerene Sci. Technol.*, 5(5):1033-1044 (March 17, 1997).
8. Heymann et al., "C<sub>60</sub>O<sub>3</sub>, a Fullerene Ozonide: Synthesis and Dissociation to C<sub>60</sub>O and O<sub>2</sub>" *J. Am. Chem. Soc.*, 122:11473-11479 (November 3, 2000).
9. Mawhinney et al., "Infrared Spectral Evidence for the Etching of Carbon Nanotubes: Ozone Oxidation at 298 K" *J. Am. Chem. Soc.*, 122:2383-2384 (February 29, 2000).
10. Bahr et al., "Covalent chemistry of single-wall carbon nanotubes" *J. Mater. Chem.*, 12:1952-1958 (May 1, 2002).
11. Cai et al., "Ozonation of Single-Walled Carbon Nanotubes and their Assemblies on Rigid Self-Assembled Monolayers" *Chem Mater.*, 14:4235-4241 (September 5, 2002).

Copies of the references set forth above are enclosed herewith and a separate listing of the same has been set forth on the attached Form PTO-1449. The Examiner is respectfully requested to consider these references in their entireties, and to indicate that he or she has done so by initialing the enclosed Form PTO-1449.

In view of the present submission, it is believed that the present application is in all respects complete, and in condition for examination and favorable consideration.

If the Examiner has any questions or comments relating to the present invention, he or she is respectfully invited to contact Applicants' attorney at the telephone number set forth below.

Respectfully submitted,

  
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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE  
(Rev. 2-32) PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.  
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SERIAL NO.  
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APPLICANT  
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U.S. PATENT PUBLICATIONS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

			1.	Banerjee et al., "Rational Sidewall Functionalization and Purification of Single-Walled Carbon Nanotubes by Solution-Phase Ozonolysis" <i>J. Phys. Chem. B</i> , 106:12144-12151 (November 1, 2002).
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EXAMINER

DATE CONSIDERED

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		10.	Bahr et al., "Covalent chemistry of single-wall carbon nanotubes" <i>J. Mater. Chem.</i> , 12:1952-1958 (May 1, 2002).
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